



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : SAMARASOORIYA, Vajira N. S.

Serial No.: 09/813,795 Group: 2631

Filed: 03-22-2001 Examiner:

Title: METHOD AND SYSTEM FOR CARRIER RECOVERY

Attorney Ref: PAT 235-2 Confirmation No.: 3059

RECEIVED  
AUG 03 2001  
Technology Center 2600

The Honourable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231  
U.S.A.

Dear Sirs:

Please find enclosed herewith for submission the certified copy of Canadian Patent Application  
No. 2,302,004 on which United States Patent Application No. 09/813,795 claims priority.

Respectfully submitted

Agent

Dated: July 31, 2001

ANNE KINSMAN/rsb  
Reg No. 45,291  
BORDEN LADNER GERVAIS LLP  
Customer No. : 26123  
Tel.: (613)237-5160

Encls.  
1. Certified copy



Office de la propriété  
intellectuelle  
du Canada

Un organisme  
d'Industrie Canada

Canadian  
Intellectual Property  
Office

An Agency of  
Industry Canada

RECEIVED

AUG 03 2001

Technology Center 2600



*Bureau canadien  
des brevets  
Certification*

*Canadian Patent  
Office  
Certification*

La présente atteste que les documents  
ci-joints, dont la liste figure ci-dessous,  
sont des copies authentiques des docu-  
ments déposés au Bureau des brevets.

This is to certify that the documents  
attached hereto and identified below are  
true copies of the documents on file in  
the Patent Office.

Specification and Drawings, as originally filed, with Application for Patent Serial No:  
**2,302,004**, on March 22, 2000, by **SPACEBRIDGE NETWORKS CORPORATION**,  
assignee of Vajira N.S. Samarasooriya, for "Method and System for a Achieving Carrier  
Frequency Synchronization in a High Speed Receiver".

Agent certifié/Certifying Officer

June 26, 2001

Date

Canada

(CIPO 68)  
01-12-00

OPIC CIPO

**ABSTRACT**

A system and method for achieving carrier frequency synchronization in a high speed receiver. The system introduces a combination of down-sampling and extrapolation techniques that reduces the sampling rate in a carrier recovery sub-system to run the carrier recovery loop at a reduced rate. The total pipeline delay as seen by the carrier loop is thus reduced. This in turn allows for more efficient correction of residual carrier frequency errors present in the complex baseband signal.

## **METHOD AND SYSTEM FOR ACHIEVING CARRIER FREQUENCY SYNCHRONIZATION IN HIGH SPEED RECEIVERS**

### **FIELD OF THE INVENTION**

The present invention relates to a method and system for achieving carrier frequency synchronization in a high speed receiver. In particular, the present invention relates to the carrier recovery loop in a high-speed digital demodulator that compensates for the phase and frequency offsets that are present in the complex baseband signal recovered from the receiver.

### **BACKGROUND OF THE INVENTION**

In modern digital receivers the digital complex baseband signal recovered from the analog-to-digital converter invariably contains residual carrier frequency errors due to mismatches between the transmit and receive local oscillators. These residual carrier errors must be removed before the baseband signal can be further processed and outputted. One of the prior art schemes used for correcting this residual carrier error is a carrier recovery loop circuit that provides compensating feedback phase and frequency offsets to the corrupted complex baseband signal. Figure 1 illustrates the interconnectivity of such a carrier recovery loop between an Equalizer and an Air Interface Processor.

As further shown in Figure 2, a typical carrier recovery (CR) loop consists of the following five main components: a phase derotator and slicer, a phase error detector, a loop filter, a carrier acquisition control, and the Sine and Cosine Look-Up Table (LUT). The CR loop will remain inactive following power-up until the Air Interface Processor (AIP) in Figure 1 gives the carrier- synchronization-enable signal. The carrier loop works in collaboration with the equalizer. The AIP activates the CR loop once the Equalizer Constant Modulus Algorithm (CMA) mode has converged sufficiently. It is assumed that the frequency offset encountered by the CR loop is in the order of  $\pm 5\%$  of the highest symbol rate of the digital demodulator. The carrier loop can operate at a rate of one sample per symbol or at a reduced rate as programmed by the Air Interface Processor. In lower data rate applications where the equalizer is not required, the equalizer taps will be bypassed, however the slicer will still continue to feed the quantized decisions ( $q_n$ ) to CR loop. Typically, the input ( $y_n$ ) to the slicer has a word length of 12-bits and

the output ( $q_n$ ) is 3-bits wide. Both  $y_n$  and  $q_n$  feed the CR sub-system

When the initial frequency offset encountered by the carrier recovery loop is in the order of  $\pm 5\%$  of the symbol rate, the CR loop cannot always lock on to, and compensate for, the incoming offset frequency in an unaided fashion. Therefore, the following acquisition technique has been added in prior art designs to achieve better carrier lock. The frequency of the VCO is swept linearly across the range spanning the maximum frequency offset encountered by the receiver. This is done by feeding a linearly changing dc-voltage to the output of the loop filter of Figure 2 prior to the phase accumulator. When the VCO frequency and the residual offset frequency at the phase derotator input coincide, the carrier loop will lock, and the lock detector indicates to the acquisition control unit to freeze the dc sweep value. The CR loop enters tracking mode at this point. Figure 3 illustrates the carrier acquisition process of a typical carrier recovery loop sub-system.

In a high-speed receiver system, hardware realization of the multipliers and adders used in the CR sub-system can produce pipeline delays that are based on the number of hardware clock cycles available for performing computations. Given the maximum operating clock frequency of the system, we have a limited number of hardware clock cycles between consecutive data samples at the higher data rates. For instance, at data rates of 155 Mbits per second, the maximum clock frequency becomes close or equal to the data sampling-rate. Each hardware multiplication and addition operation in the carrier recovery feedback loop will therefore introduce pipeline delays. The presence of such delays in the feedback loop introduces instabilities in the carrier acquisition scheme due to the addition of unwanted poles in the closed loop system response. When there is an excessive number of delay present in the feedback loop, the carrier loop will not be able to achieve carrier lock even with the aided acquisition scheme.

- (1) 'Self-recovering Equalization and Carrier Tracking in Two Dimensional Data Communication Systems'. Dominique N. Godard. IEEE Transactions on Communications, Vol. COM-28, No. 11, November 1980. pp 1867-1875.
- (2) 'Carrier Recovery for Blind Equalization', Neil K. Jablon, IEEE ICASSP Rec., May 23-26 1989.
- (3) 'Joint Blind Equalization, Carrier Recovery, and Timing Recovery for High-order QAM signal Constellations', Neil K. Jablon, IEEE Transactions on Signal Processing,

Vol. 40, No. 6 June 1992.

- (4) 'Blind Carrier Phase Acquisition for QAM Constellations', Costas N. Georghiades, IEEE Transactions on Communications, Vol. 45, No. 11, November 1997.

It is therefore desirable to provide a technique for alleviating the adverse effects of pipeline delays in the carrier recovery loop. It is further desirable to provide a .

## **SUMMARY OF THE INVENTION**

It is an object of the present invention to provide an improved method and system for carrier recovery in a high speed receiver.

In a first aspect, the present invention provides a frequency compensation method for a receiver, comprising the steps of:

- (i) reducing a sampling rate at an input of a phase error detector by a predetermined factor; and
- (ii) reconstructing the sampling rate by extrapolating at a look up table.

## **BRIEF DESCRIPTION OF THE DRAWINGS**

Preferred embodiments of the present invention will now be described, by way of example only, with reference to the attached Figures, wherein:

Figure 1 is a block diagram showing the prior art of the interconnectivity between an equalizer, an air interface processor and a carrier recovery sub-system;

Figure 2 is a block diagram of a prior art carrier recovery loop;

Figure 3 is a flow chart showing the carrier acquisition process in a prior art carrier recovery loop;

Figure 4 is a block diagram of the carrier recovery sub-system according to the present invention;

Figure 5 is a block diagram of the look up table address block according to the present invention;

Figure 6 is a flow diagram showing the phase accumulator gradient calculations according to the present invention;

Figure 7 is a flow diagram showing the multiplexing of the N addresses to the look up tables according to the present invention.

## DETAILED DESCRIPTION OF THE INVENTION

In order to alleviate the adverse effects of pipeline delays on the carrier recovery loop in high data rate systems, the present invention employs a combination of reduced sampling rate at the phase detector and an extrapolation method for reconstructing the sampling rate to the original symbol rate at the look up table. This is accomplished as follows:

The input to the phase error detector is down-sampled by a factor of  $N$  ( $N = 1, 2, 3, \text{ or } 4$ ), thus causing the carrier synchronization loop to run at the lower rate of  $\text{symbol\_rate} / N$ . At this lower operating rate, more hardware clock cycles are available for computations between successive samples within the carrier loop. The net effect is that the pipeline delays seen by the feedback loop will be reduced. The carrier recovery loop is operated at the reduced rate until carrier lock is achieved. Using combined down-sampling and acquisition control techniques, it is possible to handle up to a predetermined maximum number of pipeline delays in the carrier feedback loop. Based on the highest operating clock frequency, it is necessary that the selection of down-sampling factor be based on the symbol transmission rate such that the total number of pipeline delays seen by the feedback loop does not exceed the maximum allowable delay.

For receivers operating at lower incoming data rates, reduced sampling is not necessary because more hardware clock cycles are available for computations between samples, therefore the carrier loop does not need to be run at a reduced rate.

While the technique of reducing the symbol rate alleviates the pipeline delay in the CR loop, it creates another problem in closing the recovery loop. Since the phase derotator and slicer must always operate at the symbol rate, it is necessary that the reduced symbol rate in the look up table be reconverted to the original symbol rate. This is performed by an extrapolation scheme between the Phase Accumulator and LUT that regenerates the carrier phase/frequency correction for the phase derotator at the original symbol rate.

Since the phase derotator and Slicer need to work at the symbol rate, it is necessary that the Sine and Cosine look-up tables also read at the original symbol rate. The present invention corrects this problem by implementing an extrapolation technique at the output of the Phase Accumulator that reconstructs the reduced sample rate to the original

symbol rate at the look-up tables.

The down-sampled carrier feedback loop is run until the lock detector decides that carrier lock has been achieved. At this point, the phase accumulator output displays a constant slope that is proportional to the carrier offset encountered by the loop. To restore the original symbol rate, the current value of the Phase Accumulator output is extrapolated in order to generate  $N - 1$  more addresses for the LUT between consecutive output samples from the Phase Accumulator. This procedure is shown in Figures 5, 6, and 7.

The phase accumulator output gradient computation block operates at  $symbol\_rate / N$ . Once, a slope value has been computed, the additional  $N-1$  phase accumulator outputs are obtained by adding the offset values to the current phase accumulator output as shown. The  $N$  phase accumulator outputs are reformatted to form  $N$  look-up table addresses. These  $N$  look-up table addresses are then selected consecutively by the Mux block to address the LUT. The Mux select signal operates at the symbol rate.

In summary, for high data rate receivers, the present invention provides a combination of down-sampling and extrapolation methods in a carrier recovery sub-system to run the carrier recovery loop at a reduced rate while operating its phase derotator and slicer at the symbol rate. The total pipeline delay as seen by the carrier loop is thus reduced. This in turn allows for more efficient correction of residual carrier frequency errors present in the complex baseband signal. The down-sampling rate can be programmed for different settings based on the operating data rate of the demodulator.

The above-described embodiments of the invention are intended to be examples of the present invention. Alterations, modifications and variations may be effected to the particular embodiments by those of skill in the art, without departing from the scope of the invention which is defined solely by the claims appended hereto.



We claim:

1. A frequency compensation method for a receiver, comprising the steps of:
  - (i) reducing a sampling rate at an input of a phase error detector by a predetermined factor; and
  - (ii) reconstructing the sampling rate by extrapolating at a look up table.

1/4

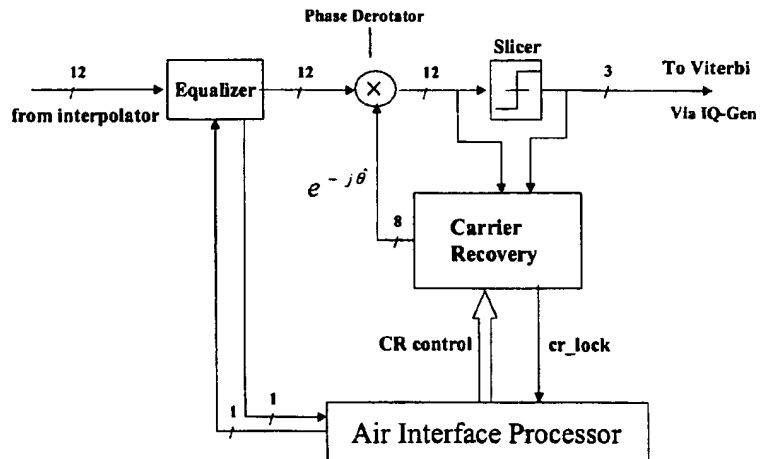


Figure 1  
(Prior Art)

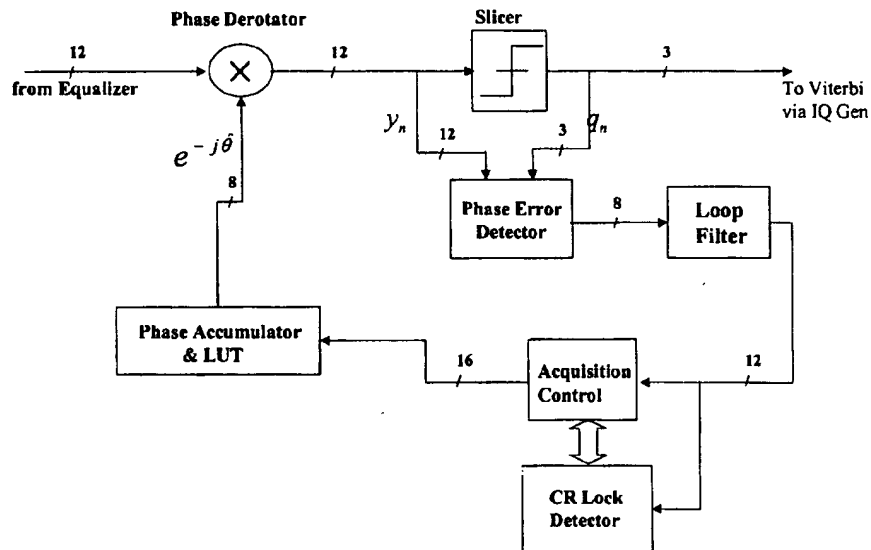


Figure 2  
(Prior Art)

2/4

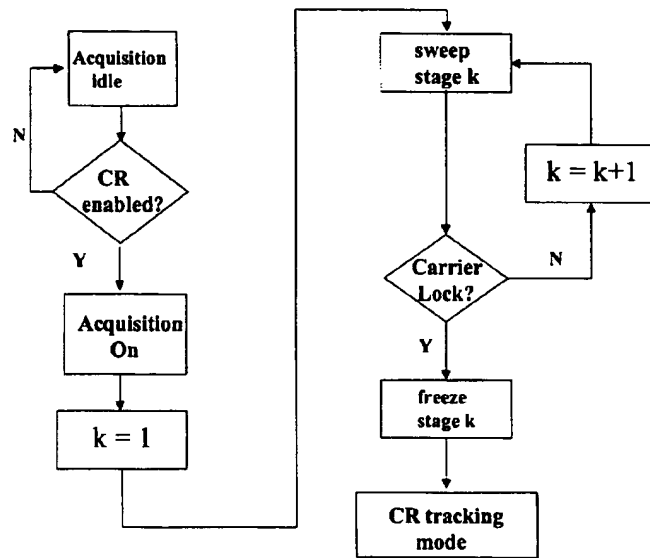


Figure 3  
(Prior Art)

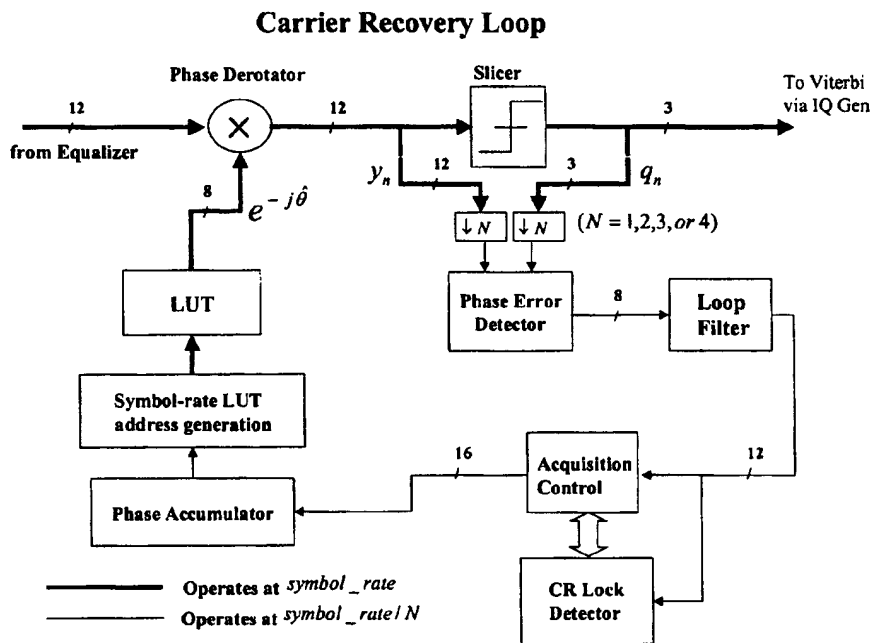
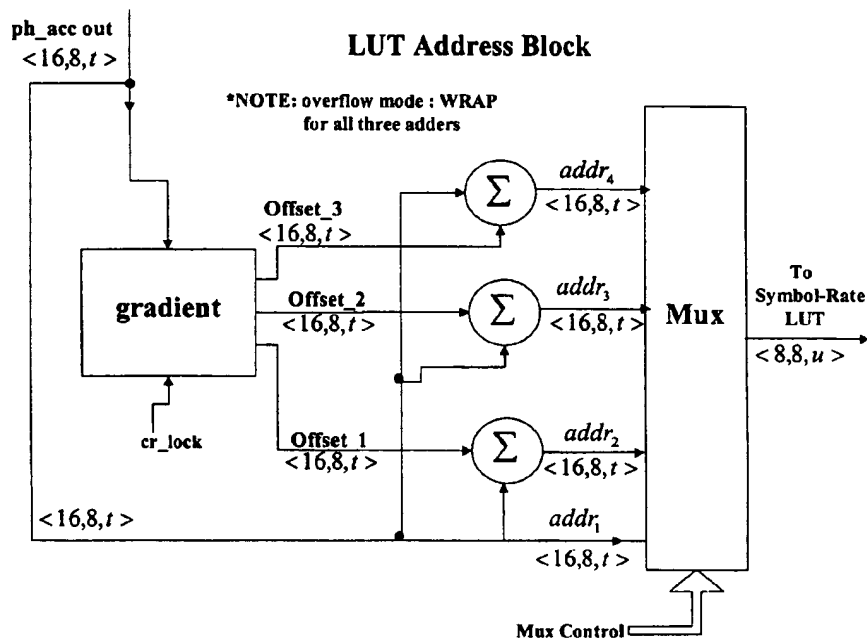
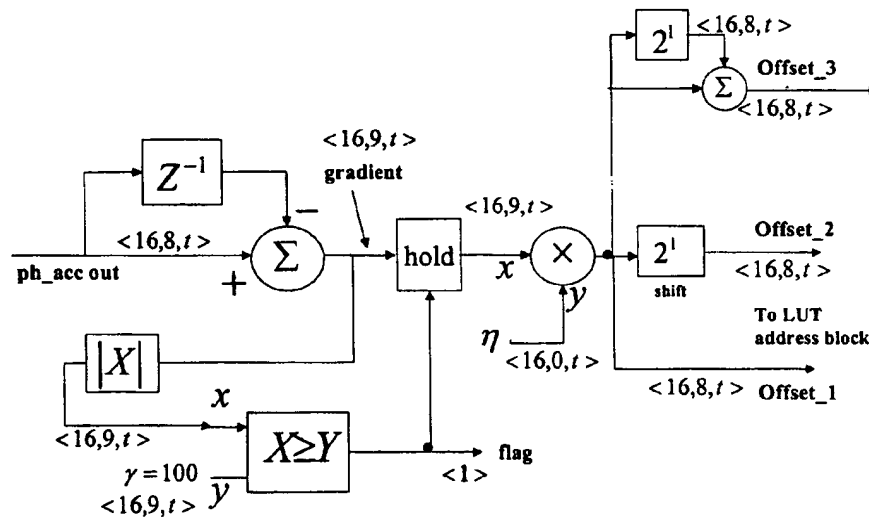


Figure 4



### Figure 5

### Phase Acc. Gradient Calculation



$$\eta = 1, 0.5, \frac{1}{3}, \text{ or } 0.25$$

### Figure 6

4/4

## Mux Block

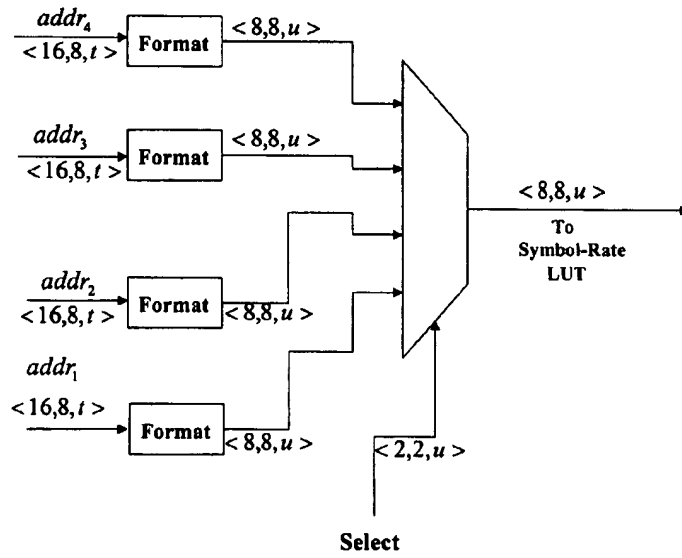


Figure 7